California Department of Corrections & Rehabilitation

Succession Plan
January 2018

Succession Management Program
Advanced Learning Institute
& Employee Development Programs
Office of Training and Professional Development

Revised November 30, 2018

STATE OF CALIFORNIA — DEPARTMENT OF CORRECTIONS AND REHABILITATION   EDMUND G. BROWN JR., GOVERNOR

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P.O. Box 942883
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January 17, 2018

Dear Colleagues:

The mission of the California Department of Corrections and Rehabilitation (CDCR) is to protect the public by safely and securely supervising adult and juvenile offenders, providing effective rehabilitation and treatment, and reintegrating offenders successfully into the community. Consistent with this purpose, we hold ourselves accountable for adopting best practices in all areas of management, including talent management.

As part of this commitment, I am pleased to present the Succession Plan which provides an overview of CDCR's strategy for leadership continuity and efficiency of operations as the Department faces the challenge of potential loss of institutional knowledge through retirements and other forms of attrition. The plan is data-driven, supported through research in both the public and private sectors, and describes a program that will prepare a pipeline of future leaders for promotional opportunities throughout CDCR.

I appreciate the commitment of the supervisors, managers, and employees who support this program for talent sustainability. An effective succession management program will prepare staff to serve as dedicated future leaders and ensure that CDCR continues to meet the mission of enhancing public safety through successful correctional services.

Sincerely,

SCOTT KERNAN
Secretary

Executive Summary

The California Department of Corrections and Rehabilitation's (CDCR's) mission – *to enhance public safety through safe and secure incarceration of offenders, effective parole supervision, and rehabilitation strategies to successfully reintegrate offenders into our communities* – has remained constant; however, the way we accomplish our mission has evolved considerably. The Department's highly competent and skilled staff operates and manages the institutions, divisions, and programs. The staff is also responsible for the delivery of its mission for public safety. The Department is currently underprepared for the impending retirement of those in leadership positions including those skilled and experienced supervisors, managers, and executives. A Succession Management Program proactively establishes a pipeline of talent to fill key leadership/management positions and/or critical technical positions. CDCR's Succession Management Program (SMP) has developed this Succession Plan to establish a process to mitigate risk of impending retirements of leaders in key positions.

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Overview

CDCR is primarily responsible for adult and juvenile offenders assigned to state supervision. Such supervision is provided through the operation of state prisons, facilities, and parole services. CDCR is the 3rd largest law enforcement agency in the United States and with its inmate population is considered the largest state-run prison system in the United States.

As of April 2017, CDCR's workforce consists of 60,758 employees (excluding California Correctional Health Care Services and California Prison Industry Authority).

Structure

The objectives of CDCR are administered under the oversight of the Departments Secretary, Undersecretaries, and Directors.

Mission

CDCR's mission is to enhance public safety through safe and secure incarceration of offenders, effective parole supervision, and rehabilitative strategies to successfully reintegrate offenders into our communities.

The mission is carried out through CDCR's following values:

- Service: We serve and are responsible to the public. We value their trust and invite their involvement.

- Leadership: We serve as positive role models and foster an environment that supports a balance between professional development, professional job performance, and personal wellness.

- Integrity: We conduct ourselves professionally through fair, honest, and ethical behavior. We have the courage to do what is right, even in the face of adversity.

- Accountability: We accept responsibility for our actions and decisions as well as their consequences.

- Respect: We respect each other's differences and treat others with courtesy, dignity, and consideration.

- Trust: We are people of character. We keep our word and honor our commitments.

- Collaboration: We work with our stakeholders as partners to support mutual understanding of ideas and open exploration of our differences.

Goals

The goals of the Department are two-fold and encompass:

Organizational

Workforce Excellence: Ensure a well-trained, quality workforce.

Technology: Develop an information technology strategy and implement systems capable of managing both current needs and anticipated growth.

Risk Management/Organizational Effectiveness: Achieve organizational excellence in our operations and systems.

Legal Compliance: Develop preventive strategies to preclude class action suits and remedy identified violations.

Programmatic

Crime Prevention and Safety: Develop a comprehensive crime prevention program and establish evidence-based research to determine the impact of offender programs within the institutions and community to reduce criminality and victimization.

Outreach, Partnerships, and Transparency: Seek out partnerships and develop meaningful programs and processes to promote shared responsibility for community safety.

Health Care Delivery: Ensure an organization design and accompanying systems to provide efficient delivery of quality health care.

History

The first California prison opened at San Quentin in 1852 with 68 incarcerated offenders. As of April 2017, CDCR was responsible for supervising 118,384 incarcerated offenders housed in 90 facilities located throughout the state. The 90 facilities operated by CDCR include 35 adult facilities, seven adult community correctional facilities, 44 conservation (fire) camps, and three juvenile facilities. CDCR also maintains parole functions throughout California, and is responsible for supervising 49,393 offenders released from prison to parole supervision. CDCR headquarters is located in Sacramento, California.

In May 2007, the State Auditor issued a report highlighting CDCR's status on workforce planning and succession management strategies. In 2012, the CDCR plan, "The Future of California Corrections: A blueprint to save billions of dollars, end federal court oversight and improve the prison system" (Blueprint), identified a specific workforce challenge, the high percentage of employees nearing retirement. The Blueprint and "An update to the Future of California Corrections" published in 2016, indicated that in order to address the workforce challenges and maintain leadership continuity, it is imperative that a successful Succession Management Program (SMP) be implemented.

In 2015, California Department of Human Resources (CalHR) reported that the proportion of state employees age 50 or older increased from 23 percent in 1988 to nearly 41 percent

in 2015. CalHR also reported that with 50 percent of supervisors and managers eligible to retire, along with 60 percent of the state's executive-level decision makers (Career Executive Assignments), the state is at an even greater risk with its leadership positions.

As of January 2016, the Department had 7,465 employees in supervisory, managerial, and exempt classifications. The data at that time showed that approximately 75 percent of those employees will be at or reach retirement age within ten years. Furthermore, of the 74 percent, approximately 71 percent of those employees will be at or will reach retirement age within five years.

In 2016, the Succession Management Program (SMP) was created with the purpose to foster organizational leadership continuity by preparing a ready and sustainable pipeline of talent to assume leadership positions as they become available. Succession planning will provide the framework for the development of upper level management and will provide a roadmap to create development activities that will help enhance competencies in alignment with executive leadership classifications.

According to statistical data obtained in April 2017, 58 percent of CDCR's total workforce is eligible for retirement in the next five years, with 24 percent eligible to retire now. The Department is currently underprepared for the impending retirement of highly skilled and experienced custody and technical supervisors, managers, and executives and previous efforts have not been robust enough to address the problem. An effective SMP will help prepare staff to be successful future leaders.

Governance

The California State Auditor (CSA) has provided the Governor and the Legislature multiple high risk audit reports concerning the state's efforts to manage risks associated with this large exodus of experienced employees, which threaten the ability of the state to deliver critical services. The CSA pointed out that other states have done more than California to address workforce and succession planning.

In 2015, in response to CSA's concern, CalHR conducted an assessment of 87 state departments in an effort to collect and evaluate workforce and succession plans. CalHR's assessment found only 16 departments reported they had a workforce plan. Of the 16 plans collected, most were not current and up to date. These results support the CSA's findings that the state must do more to address workforce and succession planning. As the control agency over these human resource functions, CalHR is uniquely positioned and accountable to help the state create an integrated and seamless planning process to ensure all departments have a continuous supply of diverse and highly productive individuals in the right job at the right time.

Government Code Sections 13400 through 13407 known as the State Leadership Accountability Act (SLAA) was enacted to reduce the waste of resources and maintain effective internal controls. Succession Planning is one of the many internal controls which is monitored pursuant to SLAA through the Department of Finance.

Stakeholders

The key stakeholders and their roles needed to execute an effective SMP are described below:

- **California Department of Human Resources.** May provide informational assistance to participants including career ladders, promotional paths and bridging classes, and tracks the progress of CDCR's succession planning process.

- **Candidates**. Individuals who apply for the succession program by self-nomination or who are recommended by management. Once the candidate has been accepted into the program, they will become a "participant".

- **Division/Program Heads**. Can address issues and competencies related to specific divisions during program development and periodic program evaluation. They also might be asked to assist in identifying, assessing, developing, and mentoring participants for future succession.

- **Legal Team.** Available to offer guidance, legal advice, and risk management support to CDCR leadership and participants to ensure that CDCR's operations are conducted effectively and consistent with legal requirements.

- **Managers.** Assesses participant's level of readiness and assist with identifying candidates and/or assist in the Leadership Development Plan (LDP) process by agreeing to act as a mentor/coach.

- **Participants**. Individuals selected to participate in the SMP.

- **Succession Management Program**. The SMP is responsible for all administrative components of the SMP process.

Succession Plan

This plan provides a detailed overview of the operations related to program requirements, selection process, assessments, leadership development, and monitoring and reporting.

Methodology to ID Critical Need Positions

A critical position is one that, if it were vacant, would have a significant impact on CDCR's ability to conduct normal business. For the purpose of an SMP, a critical position can potentially impact business continuity (e.g., operations, process efficiencies, loss of institutional knowledge, etc.) due to retirement, attrition and voluntary/involuntary separation. These positions may be managerial, technical or support in nature that can be occupied or vacant. Critical need positions usually represent 10-15% of the total organization and are considered "mission critical" to achieving CDCR goals.

To identify critical needs, CDCR must clearly understand which positions are strategic and which are not. Understanding each position's level of impact on business success is the first step. While a number of factors contribute to a position's relative impact, the most important are its strategic impact and level of performance variability (a substantial gap between low and high performers in the role).

Strategic positions are those in which top talent significantly enhances the probability of achieving the business strategy, and have the following characteristics:

- Employees are hard to get; top talent is difficult to attract and retain
- Positions create fiscal impact (by substantially enhancing revenue or reducing costs)
- Mistakes may be very costly and are a great potential loss to the department
- Selection of the wrong person is expensive in terms of lost training investment
- Poor performance would be immediately detected
- Substantial performance variability is possible, depending on the incumbent
- Positions are not determined by placement in the department's hierarchy

Once the critical positions are identified, SMP will prioritize them based on the analysis.

Marketing Strategies

The SMP's marketing objective is to ensure employees are aware of the program, the rationale and what it means to them. The SMP has a multi-level marketing plan (See *Reference 1*) that takes into consideration the demographics of the workforce (age, technology level, and accessibility to resources).

The Succession Program Process

The following flowchart reflects the execution portion of the succession program process.
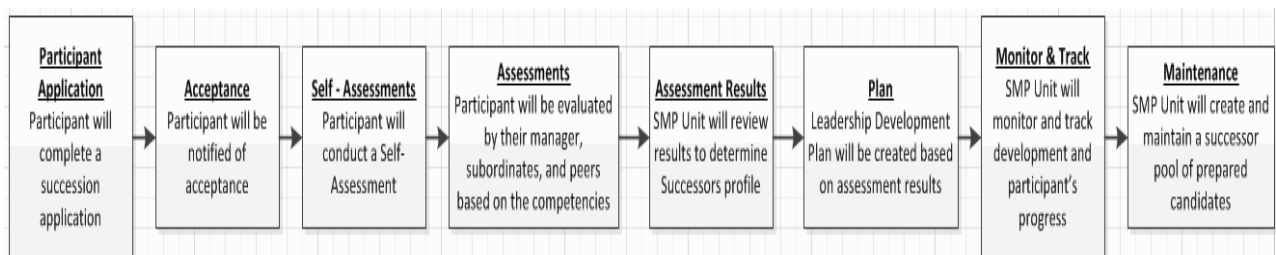
The Succession Program planning requires the following steps:

Open Enrollment
An employee interested in self-nomination or a manager wishing to nominate an employee can do so during the open enrollment period.

Identify Candidates
For the purposes of participating in the Program, self-nomination and nomination by

management will be used to identify candidates. The SMP will use internal procedures (See *Application*) for succession planning identification and eligibility.

The candidates identified from the self-nomination process should be at the level of Staff Services Manager III (equivalent) and above (See *Reference 3*). Participation is voluntary and independent of the formal annual review process.

Candidate Application
Those interested, who were nominated to participate in the succession planning process, will be asked to complete an Application (See *Reference 4*) and include all supporting documents.

Assessments
Once the SMP has confirmed the minimum qualifications have been met, an invitation letter will be sent to the participant, manager, direct reports, and peers (optional) asking them to complete a Competency Assessment (See *Reference 5*) via Survey Monkey. Assessing participants on defined competencies (See *Reference 6*) is important to obtain a baseline and determine the participant's readiness to assume new responsibility. All individuals will be given a specified amount of time to complete Assessments.

Review and Assess Readiness
The assigned SMP Analyst will send an email to participants confirming all Assessments have been received and will be reviewed.

Readiness will be determined in relation to the defined competencies using a weighted score.

Leadership Development Plan
The purpose of the Leadership Development Plan (Plan) is to identify competency areas in which the participant may benefit from additional development. These areas are identified using the Assessment results. The goal is to understand the participant's strengths and gaps, then set readiness goals and a plan of action that will support the participant to successfully prepare for new roles.

After receiving the Assessments, the assigned analyst will review and analyze the data and create a draft Plan (See *Reference 7*). The draft will be emailed to the participant with the request to schedule a consultation appointment to finalize the Plan and share knowledge transfer strategies (refer to the *70-20-10 Framework Tools* section of this document).

During the Plan consultation, the SMP Analyst and participant will collaboratively identify areas of development that will help to achieve the developmental goals identified in the Assessment process. The analyst and participant will also determine an appropriate timeline and desired results to monitor progress on achieving each goal. The following should be considered when identifying development priorities.

- Ensure that the goals are *SMART* - *S*pecific, *M*easurable, *A*greed-Upon, *R*ealistic, and *T*ime bound.

- Use the *70-20-10 framework*. This means **70%** of development occurs from Workplace Learning, **20%** from Coaching & Mentoring, and **10%** from Formal Learning - this is situational.

- Identify themes in the information, particularly strengths and gaps in capabilities. Analyze organizational needs and opportunities that might be particularly important or interesting to the candidate.

- Review the participant's career interests and developmental plan to determine if they are aligned with the competencies.

- Determine career goals that describe the candidate's desired career direction over the next three or more years. This should include job content (e.g., Peace Officer, Medical, Administrative), job level (e.g., Warden, Chief Deputy Warden, etc.), or key experiences (e.g., project assignment), as well as desired results/outcomes to achieve each.

- Examine business requirement information from both CDCR overall and the candidate's branch, division, or unit: strategy documents, performance objectives, anticipated organizational changes, and required competencies or roles.

- Discuss next assignments - what is possible? Is the next assignment in line with meeting some of the competency opportunities?

Monitoring and Reporting
Assigned SMP Analysts will monitor participant's progress on an ongoing basis with frequency dependent on the specific target dates/milestones. The analyst will also keep the participant informed of development opportunities.

Once a participant has completed all goals defined in the Plan, the analyst will notify the participant that they have completed the SMP, and will also notify the participant's supervisor and the Division Director. A formal evaluation will be sent to the participant and the mentor/subject matter expert (if applicable) asking for feedback.

After a participant has completed the SMP, the SMP Analysts will periodically follow up with the participant when appropriate (i.e., when there is a change in competencies, new developmental opportunities arise).

The SMP will complete an annual fiscal year-end report to track participant promotions and other program related data.

70-20-10 Framework Tools

The SMP Analysts will work with participants to use the following tools when developing their LDP goals:

Workplace Learning

Knowledge Transfer
The SMP has developed strategies and tools (See *Reference 8*) including suggested best practice methods to capture, record, and manage institutional knowledge and experience of staff in key positions and functions. When appropriate, strategies will be combined to transfer and share knowledge for optimum results.

Stretch Assignments
Perform special projects, high profile assignments, or a task that the employee is unfamiliar with.

Committees
Serve on a specialized committee that may relate to the goal classification.

Attend One-on-One Meetings
Use this opportunity to offer recommendations and suggestions to increase knowledge and develop skills.

Performance Surveys/Competency Assessments
These tools will be helpful to determine skills and competencies that may need to strengthen development.

Coaching and Mentoring

Mentoring
Sharing knowledge, experience and skills can be a valuable resource for learning from experienced leaders.

Coaching
Teach effective ways to develop skills needed to perform a specific task and help improve an individual's performance on the job.

Subject Matter Expert (SME)
Shares knowledge, experience and skills related to a specific subject when a coach or mentor is not as knowledgeable.

Training Resources

The SMP Analysts will work with participants to use the training resources (See *Reference 9*) available. These resources are training courses specific to competencies and may be suggested to further develop a participant's competency level as noted in their LDP.

Talent Pools

An internal *talent pool* is a group of individuals who may succeed a current employee in a critical position, and have expressed an interest in being considered for the position.

A Talent Pool consists of:

1. Individuals that may be ready now to step into a specified position and successfully perform the duties and responsibilities at any time.

2. Individuals that have "potential" to perform in the position if developed appropriately.

All employment decisions must be merit based on a competitive process of position relatedness, equity, and fairness.

Developing Talent Pools

The development of strategies for identified talent pools are based on required business needs and the information collected during the competency assessment of potential leaders. The intent is to identify the right combination of strategies that prepares succession candidates to successfully take on higher leadership and business roles within the business area. In time, the SMP anticipates creating a sufficient CDCR talent pool of qualified succession candidates to fill executive leadership positons as they become available.

Succession Management within the Merit System

While succession management in most private sector organizations is focused on staffing top leadership or key leadership positions where successors can be groomed and simply appointed, CDCR established the SMP to work within the existing merit system principles governing the California State Civil Service process. The SMP ensures all interested employees have equal access to learning and development opportunities and that the succession plan goals are transparent and consistent. While the SMP assists employees with readiness by providing additional career development, participation does not provide nor guarantee promotions.

Performance Measures

The SMP will annually submit a Succession Annual Report to CDCR's executive staff on the Department's performance in meeting its SMP goals. Performance measures will be developed based on meeting departmental goals in relation to annual outcomes.

The performance measures include:

- Number of CDCR statewide executive vacancies (breakdown by classification and location.

- Number of participants in the succession program.

- Succession program participants will have started the development objectives in their Leadership Development Plans.

- All identified critical classifications will have at least one 'ready now' candidate at all times.

- Succession program participants will fill vacant critical need positions.

- Succession program participants will be satisfied with the development opportunities offered through the program.

Attachment A

Core Competencies

http://www.calhr.ca.gov/Training/Pages/competencies-core-model.aspx

Adaptability	Flexible and works well in a variety of situations, and with various individuals and groups. Open to different and new ways of doing things; willing to modify one's preferences and priorities.
Collaboration	Develops, maintains, and strengthens relationships while working together to achieve results.
Communication	Listens, writes, and presents ideas, opinions, and information in diverse situations.
Customer Engagement	Creates a connection with internal and external customers through positive experiences and exceptional service in response to current and future needs.
Digital Fluency	Use technology effectively in the performance of one's job. Includes the integration and acceptance of new technology when appropriate.
Ethics and Integrity	Behaves in a trustworthy, fair, and forthright manner. Respects concerns shared by others and follows through on commitments.
Fostering Diversity	Works effectively in an inclusive workplace where individual differences and perspectives are respected and leveraged to achieve organizational goals.
Innovative Mindset	Demonstrates curiosity, develops new insights, considers creative approaches and applies novel solutions.
Interpersonal Skills	Interacts positively with courtesy, sensitivity and respect with a variety of individuals and makes every effort to understand and relate to others.
Resilience	Overcomes challenges, does the job, and remains optimistic under pressure and adversity.

Attachment B

Leadership Competencies

http://www.calhr.ca.gov/Training/Pages/competencies-leadership-model.aspx

Business Acumen	Understands and demonstrates sound judgment, fiscal competence, and organizational business knowledge to optimize the quality of operations and services.
Inspirational Leadership	Energizes and creates a sense of direction, purpose, excitement, and momentum for the organization's mission. Creates a positive work environment offering clarity around goals and objectives and ensuring that those who are led work collaboratively to achieve results.
Results-Driven	Focuses efforts to efficiently achieve measurable and customer-driven results consistent with the organization's mission, goals, and objectives.
Stewardship	Focuses on being responsible and accountable for managing resources well, choosing to use influence to serve the long-term collective good of the public. Places public interests above self-interests and focuses on the larger purpose or mission of the organization.
Talent Management	Recruits, selects, and develops effectively to retain world-class staff.
Vision and Strategic Thinking	Supports, promotes, and ensures alignment with the organization's vision and values. Creates a compelling future state of the unit or organization. Understands how an organization must change in light of internal and external trends and influences.

Acronyms

CalHR	California Department of Human Resources
CDCR	California Department of Corrections and Rehabilitation
LDP	Leadership Development Plan
SMP	Succession Management Program
SP	Succession Plan

Definitions

Bench Strength	The capabilities and readiness of potential successors to move into key professional and leadership positions.
Blueprint	An official document listing CDCR's goals and objectives as it relates to the Office of Inspector General's periodic review mandated by California Penal Code Section 6126.
Candidate	An individual who has submitted an application to participate in the SMP but has not yet been accepted.
Coach	A person who instructs or trains and supports another in achieving a specific goal.
Coaching	The process of equipping people with the tools, knowledge, and opportunities they need to fully develop themselves.
Competency Assessment	Evaluation of a participant's readiness to fill key positions and to assume greater responsibility, either now or in the future.
Core Competencies	Basic sets of knowledge, skills, attitudes and behaviors required for competitive advantages in creating and delivering value in a chosen field. See **Attachment A**
Critical Classification	Classifications for which a gap exceeding 20 percent has been identified.
Direct Reports	An employee who reports directly to someone else.
Knowledge Transfer	Sharing or disseminating of knowledge and providing input to problem solving. In organizational theory, knowledge transfer is the practical problem of transferring knowledge from one part of the organization to another.
Leadership Competencies	A set of skills and behaviors that contribute to superior performance. See **Attachment B**
Leadership Development Plan	A detailed plan that outlines the direction and strategies of the participant's career goals.
Manager	An individual who is in charge of a certain group of tasks, or a certain subset of a company, and often has staff of people who report to them.
Mentor	Someone who teaches or gives help and advice to a less experienced person.
Mentoring	A relationship between two individuals based on mutual desire for development towards career goals and objectives.

Participant	An individual who has been selected to participate in the SMP.
Pipeline	A stream of candidates that have been prepared and developed over time to assume a designated position. In succession planning it is the visual context and process where leader development is conceptualized, planned, and measured.
Ready Now	Refers to how soon an internal candidate would be fully able to assume a designated critical position. In succession planning, ready now means they have all of the competencies to move into a position immediately.
Succession Management	The ongoing process of ensuring that pools of skilled employees are trained and available to meet the strategic objectives of the organization. Consists of a process of identifying employees who have the potential to assume key positions in the organization and preparing them for these positions.
Succession Plan	An organization's written plan and process for addressing the anticipated changes that will occur when critical positions become vacant.
Talent Pool	A group of individuals that is generally identified as the top talent within an organization. In order to prevent attrition and provide motivation, individuals that have met certain criteria for success are placed in a pool based upon their knowledge, skills, and abilities.
Technical Competencies	Specialized knowledge, skills, abilities, and other attributes needed for success in a specific job or occupation that requires specialized training or knowledge transfer specific to the position or industry. (***These competencies are individualized by classification and division***)

References

1. Marketing Matrix; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
2. Classification List; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
3. Candidate Application; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
4. Competency Assessment; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
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6. Knowledge Transfer Strategies; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
7. Leadership Development Plan; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.
8. Participant Training Resources; Succession Management Program, Submit Request to: HR OTPD Alismp@cdcr.ca.gov.